

**U.S. SOCIAL SECURITY ADMINISTRATION  
GENERAL GUIDELINES FOR PREPARING APPLICATIONS FOR  
GRANTS AND COOPERATIVE AGREEMENTS**

**GENERAL INFORMATION**

The Social Security Administration (SSA) grant application kit contains the forms required to be completed and submitted when applying for support under the Research and Demonstration Grant Programs administered by (SSA). Use of the term "grant" in this document is intended to also mean "cooperative agreement."

Universities, colleges, State and local governments and other public or private institutions, including for-profit organizations, are eligible to apply. However, individuals are not eligible to apply for grant support under this program. No grant funds will be paid as profit to any grant recipient. Profit is considered as any amount in excess of the allowable costs of the grant recipient. A for-profit organization or institution means a corporation or other legal entity which is organized or operated for the profit or benefit of its share holders or other owners and must be distinguishable or legally separable from that of an individual acting on his or her own behalf.

An original and two copies of the grant application forms are to be submitted to:

Grants Management Team  
Office of Operations Contracts and Grants  
Social Security Administration  
1-E-4 Gwynn Oak Building  
1710 Gwynn Oak Avenue  
Baltimore, Maryland 21207-5279  
Telephone (410) 965-9503

**INDIRECT COST-RATE AGREEMENT**

Grant applications usually involve requests for both direct and indirect costs. The payment of indirect costs is based upon rates established by formal agreement between the grantee institution and the cognizant Federal agency (the Federal agency which, on behalf of all Federal agencies, is responsible for reviewing, negotiating and approving cost allocation plans, indirect cost rates, etc.). Questions concerning the negotiation of indirect cost-rate agreements should be directed to the Grants Management Team (see the above address and telephone number).

## **PAYMENT PROCEDURES**

Payment for all grants awarded by SSA are paid through the SSA Office of Finance. Inquiries regarding payments should be directed to:

Division of Central Accounting and Reporting  
Social Security Administration  
PO Box 47  
Baltimore, Maryland 21235-0047  
Telephone (410) 965-0017

## **ACKNOWLEDGMENT OF RECEIPT OF GRANT APPLICATION FORMS**

Receipt of grant application forms will be acknowledged by SSA using Form SSA-3966 PC. Please complete the top and bottom parts of the form and, be sure to include the name and address of the person to whom the acknowledgement is to be sent. Include Form 3966 PC with the original copy of the application forms.

## **GRANT APPLICATION FORMS**

The following forms are to be submitted when applying for grant support:

### **1. FEDERAL ASSISTANCE - FORM SSA-96BK**

This form is to be used to request or apply for new grants, continuation of an existing grant, and/or supplemental funding for an existing grant. The form should be completed in accordance with the instructions provided. Please include only pages I through IV.A. (PARTS I through IV) of Form 96BK when submitting the completed application.

### **2. APPLICATION CERTIFICATIONS**

- A. Small, Minority and Woman-Owned Businesses (This form is to be completed by for-profit organizations only.)
- B. Certification Regarding Lobbying

This form must be completed and submitted with the grant application when the Federal funding requested exceeds \$100,000. If any non-Federal funds have been or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee

of Congress, or any employee of a Member of Congress in connection with the grant application, the applicant must complete and submit Standard Form-LLL, Disclosure of Lobbying Activities, in accordance with the instructions provided.

C. Certification Regarding Drug-Free Workplace Requirements

The HHS regulation 45 CFR Part 76, subpart F, Drug-Free Workplace Requirements (Grants), requires that applicants for grant support certify that they will (or will continue to) provide a drug-free workplace and will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant. Workplace(s) under the grant, if known, may be identified in the grant application. If not identified in the application, the grantee must keep the identity of the workplace(s) on file in its office and available for Federal inspection.

D. Debarment Certifications

The HHS regulation 45 CFR Part 76, Debarment and Suspension from Eligibility for Financial Assistance, requires debarment certifications from applicants for grant support. The application kit contains extracts from the regulation which includes instructions, definitions, and the required certification for grant applicants, subgrantees and contractors under the grant. Please note that the applicant's signature on the SSA grant application Form SSA 96BK fulfills the certification requirement for the grant applicant organization only.

Also, please be aware that, in accordance with 45 CFR Part 76, amended June 26, 1995, any debarment, suspension, proposed debarment or other governmentwide exclusion initiated under the Federal Acquisition Regulation (FAR) on or after August 25, 1995 shall be recognized by and effective for Executive Branch agencies and participants as an exclusion under 45 CFR Part 76. Similarly, any debarment, suspension or other governmentwide exclusion initiated under 45 CFR Part 76 on or after August 25, 1995 shall be recognized by and effective for those agencies as a debarment or suspension under the FAR.